



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named  
Inventor : Kang-Hyun Baek

Appln. No. : 10/801,940

Filed : March 16, 2004

For : SELF ASSEMBLED THREE-  
DIMENSIONAL PHOTONIC  
CRYSTAL

Docket No.: U11.12-0161

Group Art Unit: 2873

Examiner:

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

I HEREBY CERTIFY THAT THIS PAPER IS BEING  
SENT BY U.S. MAIL, FIRST CLASS, TO THE  
COMMISSIONER FOR PATENTS, P.O. BOX 1450,  
ALEXANDRIA, VA 22313-2450, THIS

3 DAY OF

20

PATENT ATTORNEY

Sir:

The patents or publications listed on the enclosed PTO Form-1449 are submitted pursuant to 37 C.F.R. § 1.97. Copies of the patents or publications cited are enclosed.

**TIME OF FILING**

The information disclosure statement is being filed:

1. X with the application or within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. In accordance with 37 C.F.R. § 1.97(b), no statement or fee is required.
2. \_\_\_\_\_ after the time period specified in paragraph 1 above, but before the mailing date of a final action under 37 C.F.R. § 1.113 or notice of allowance under 37 C.F.R. § 1.311. Therefore, in accordance with 37 C.F.R. § 1.97(c), submitted herewith is:

(check either A or B below)

- A. \_\_\_\_\_ a statement as specified in 37 C.F.R. § 1.97(e).
- B. \_\_\_\_\_ the fee set forth in 37 C.F.R. § 1.17(p) for

submission of an information disclosure statement under 37 C.F.R. § 1.97(c).

3. \_\_\_\_\_ after the mailing date of either a final action under 37 C.F.R. § 1.113 or a notice of allowance under 37 C.F.R. § 1.311, whichever occurs first, but before payment of the issue fee. Therefore, Applicant petitions for consideration and submits herewith:
- A. a statement as specified in 37 C.F.R. § 1.97(e);
  - B. the petition fee set forth in 37 C.F.R. § 1.17(p).

**STATEMENT**

(only used if No. 2(A) or No. 3 above is checked)

The person(s) signing below certify

(check appropriate paragraph)

\_\_\_\_\_ that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 C.F.R. § 1.97(e)(1).

OR

\_\_\_\_\_ that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement. 37 C.F.R. § 1.97(e)(2).

**METHOD OF PAYMENT**

X No fee is required.

       Attached is a check in the amount of \$       .

The Director is authorized to charge any fee deficiency required by this paper or credit any overpayment to Deposit Account No. 23-1123. A duplicate copy of this communication is enclosed.

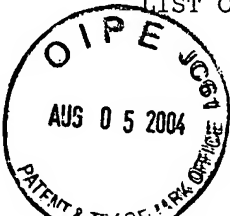
Respectfully submitted,

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By: 

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JKC:lrs

FORM PTO-1449		Atty. Docket No.: <b>U11.12-0161</b>	Appl. No.: <b>10/801,940</b>
 <p>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</p>		First Named Inventor:	
		<b>Kang-Hyun Baek</b>	
		Filing Date	Group Art:
		<b>March 16, 2004</b>	<b>2873</b>

## U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
AA	2001/0019037	7/2001	Zakhidov et al.	216	56	
AB	2002/0024163	2/2002	Fu et al.	264	42	
AC	2002/0045030	4/2002	Ozin et al.	428	173	
AD	2002/0062782	5/2002	Norris et al.	117	3	
AE	2002/0126713	9/2002	Ibanescu et al.	372	6	
AF	2002/0164137	11/2002	Johnson et al.	385	125	
AG	2002/0173610	11/2002	Aert et al.	526	303.1	
AH	2002/0176676	11/2002	Johnson et al.	385	125	
AI	2002/0189947	12/2002	Paul et al.	204	461	
AJ	2002/0195344	12/2002	Neyer et al.	204	600	
AK	2003/0008771	1/2003	Fu et al.	502	159	
AL	2003/0012657	1/2003	Marr et al.	417	48	
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AP	2004/0020423	2/2004	Lewis, III et al.	117	8	
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	Document No.	Date	Country	Class	Sub Class	Translation Yes No
AS						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AT	
EXAMINER:	DATE CONSIDERED:

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Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
BA	2003/0103721	6/2003	Padmanabhan et al.	385	24	
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BS						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

BT	
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		<b>March 16, 2040</b>	<b>2873</b>

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CA	6,680,013	1/2004	Stein et al.	264	44	
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	CE	1 081 513 A1	3/2001	EPO			X
	CF	WO 99/01766	1/1999	WIPO			X
	CG	WO 99/47570	9/1999	WIPO			X
	CH	WO 00/21905	4/2000	WIPO			X
	CI	WO 00/50771	8/2000	WIPO			X
	CJ	WO 01/18283 A1	3/2001	WIPO			X
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	CM	WO 01/66833 A1	9/2001	WIPO			X
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	CP	WO 02/059656 A2	8/2002	WIPO			X
	CQ	WO 02/059663 A1	8/2002	WIPO			X
	CR	WO 02/061467 A2	8/2002	WIPO			X
	CS	WO 02/091028 A2	11/2002	WIPO			X

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DC						
DD						

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	DG	WO 02/101474 A2	12/2002	WIPO			X
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	DM						
	DN						

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DO	"Optical coupling between monocrystalline colloidal crystals and a planar waveguide", by Y. Zhao et al., <u>APPLIED PHYSICS LETTERS</u> , Vol. 75, No. 23, pgs. 3596-3598, (6 December 1999).
DP	"Two-dimensional colloidal crystal corrugated waveguides", by Y. Zhao et al., <u>OPTICS LETTERS</u> , Vol. 24, No. 12, pgs. 817-819, (June 15, 1999).
DQ	"Optical Demultiplexing in a Planar Waveguide with Colloidal Crystal", by I. Avrutsky et al., <u>IEEE PHOTONICS TECHNOLOGY LETTERS</u> , Vol. 12, No. 12, pgs. 1647-1649, (12 December 2000).

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